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Open Access at URI: Exciting Opportunities for Faculty, Researchers, and Grad Students

Julia Lovett

University of Rhode Island, jalovett@uri.edu

Andrée Rathemacher

University of Rhode Island, andree@uri.edu

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Open Access at URI: Exciting Opportunities for Faculty, Researchers, and Grad Students

Search Savvy Seminar
October 8 and 21, 2013

Julia Lovett • jalovett@uri.edu
Andrée Rathemacher • andree@uri.edu

Handouts:

- Bring Assistance Authorization Forms and have any faculty who attend fill them out.
- Bring page 1 of LibGuide with URL circled in red.
- DigitalCommons@URI flyer

What is Open Access?

“Open-access (OA) literature is digital, online, free of charge, and free of most copyright and licensing restrictions.”

— Peter Suber, “Open Access Overview,”
<http://legacy.earlham.edu/~peters/fos/overview.htm>

Definition of OA: [[read slide]]

Thus Open Access removes **price** barriers (like subscription fees, licensing fees, pay-per-view fees) and Open Access removes **permission** barriers (that is, most copyright and licensing restrictions).

Thus far, the open access movement has *primarily* targeted peer-reviewed journal literature, because it is the low-hanging fruit (Suber):

Authors give their scholarly articles to the world without the expectation of payment, and it is in their interest that their work be read as widely as possible.

Since we don’t make any money on our articles, and our reward for writing good articles is an enhanced professional reputation, it only makes sense to make our articles as widely available as possible.

However, open access can also refer to books, dissertations, data sets, educational resources, and other materials.

Goal: Readership & Impact

“The Faculty of the University of Rhode Island is committed to disseminating the fruits of its research and scholarship as widely as possible...”

- Studies have shown a citation advantage for OA articles ranging from 45% to over 500%.

— Alma Swan (2010), “The Open Access citation advantage: Studies and results to date,”
<http://eprints.soton.ac.uk/268516/>

This is the first line of the policy: [[read slide]]

Thus the goal of the Open Access Policy is to increase the readership and impact of our scholarship.

OA benefits readers (including us when we are in “reader” mode) by providing us with barrier-free access to the literature needed for research, without running up against publisher pay-walls.

OA benefits authors since more people can read their work, and more people can cite it.

OA benefits everyone by accelerating the pace of research. OA research is more discoverable, more retrievable, and therefore more useful.

OA speeds the progress of knowledge by facilitating sharing and conversations around topics of importance.

This is why many research funders (including, soon, all US government agencies with research budgets over \$100M) require that publications resulting from research they fund be made available OA.

How do we get there?

Green Open Access: Repositories

- Researchers publish in the journal of their choice and then deposit their final, peer-reviewed manuscript in a disciplinary or institutional repository
- OpenDOAR (Directory of Open Access Repositories)

Gold Open Access: Journals

- Journals make their published contents freely available to readers
- Multiple business models (profit and non-profit)
- DOAJ (Directory of Open Access Journals)

So, how do we get there?

There are two commonly-recognized “roads” to Open Access: the Green Road and the Gold Road.

[[use contents of slide to summarize each]]

Many disciplines have been travelling the Green Road for a long time, for example, the open access disciplinary repositories ArXiv for physics, RePec for economics, SSRN for social sciences. A large number of higher education institutions now have repositories, e.g. DASH at Harvard and DigitalCommons@URI.

The Green and Gold Roads are complementary, and both are important to the transformation of scholarly communication.

And both roads rely on journals to perform the important work of peer review.

“Green” OA Strategy

Deposit into DigitalCommons@URI a version of the scholarly articles written by URI faculty in order to make them available open access



The URI Open Access Policy will help us achieve “green” OA for our scholarly articles.

Again, in the “Green OA” model, faculty publish in whatever journal they want (the best journal possible)

And then they archive a version of their article in the DigitalCommons@URI repository.

Barrier: Copyright

When authors transfer their copyright in an article to a publisher, they lose the the right to make it available to colleagues and students for the purposes of teaching & research, to post it on a personal or institutional website, and to create derivative works.



A potential problem with this strategy is copyright.

Authors initially own the copyright in their articles, but most journals require authors to transfer their copyright to the journal publisher.

After they do this, authors can no longer make use of their own work without the publisher's permission, including posting a version of their article in a repository.

Solution: URI Open Access Policy

"...Each Faculty member grants to the University of Rhode Island a nonexclusive, irrevocable, worldwide license to exercise any and all rights under copyright relating to each of his or her scholarly articles, in any medium, provided that the articles are not sold, and to authorize others to do the same..."



The URI Open Access Policy is a solution to the copyright problem.

Passed by the Faculty Senate in March (2013) and approved by President Dooley in May (2013), the policy is now in effect.

Pioneered by Harvard in 2008 and since then over 40 similar policies have since been passed at other institutions.

http://cyber.law.harvard.edu/hoap/Additional_resources

These institutions include:

- MIT
- University of Kansas
- Duke
- University of Hawaii-Manoa
- Emory University
- Princeton
- Utah State
- University of California, San Francisco
- UMass Medical School
- Rutgers
- And, this past August (2013), the entire University of California system!

In many of these cases (including URI!), the faculty voted for the policy *unanimously*.

See http://oad.simmons.edu/oadwiki/Unanimous_faculty_votes

Plain English

- URI faculty authors retain full copyright in their articles.
- Authors give URI permission to make available a version of their journal articles in DigitalCommons@URI.
- URI can reproduce, display, and distribute the articles as long as they were not sold, and can authorize others to do the same.
- **Because the university can grant these rights back to the author, in effect, the policy allows authors to retain their rights.**

So what does the URI Open Access Policy do in plain English?

First, note that the policy applies only to **scholarly articles**. Scholarly articles describe the results of research and are given by authors to the world with no expectation of payment. They tend to be published in peer-reviewed scholarly journals and conference proceedings. The policy does not apply to other types of works such as book chapters, creative works, software, etc.

Second, understand that URI authors have NOT transferred the copyright in their articles to URI. They have simply given URI permission to make certain uses of their work.

“Non-exclusive” means that the permissions authors give to URI do not prevent them from giving permissions to others, thus...

Authors are still free to transfer their copyrights to journal publishers if they want to.

However, if they do, URI retains the nonexclusive right to distribute our articles in DigitalCommons@URI and to exercise other rights in copyright, including: Reproducing ; Displaying ; Distributing the article... AS LONG AS THE ARTICLE IS NOT SOLD.

Plain English

- URI faculty authors retain full copyright in their articles.
- Authors give URI permission to make available a version of their journal articles in DigitalCommons@URI.
- URI can reproduce, display, and distribute the articles as long as they were not sold, and can authorize others to do the same.
- **Because the university can grant these rights back to the author, in effect, the policy allows authors to retain their rights.**

This strategy is 100% legally sound, because the transfer of copyright to a publisher must honor the prior non-exclusive license to URI.

Key idea here: The policy actually allows us as authors to RETAIN OUR RIGHTS in our articles, because the university grants those rights back to us.

The policy is in effect a strategy for faculty authors to use the university to help retain their rights. As Stuart Shieber of Harvard has explained, in passing the policy, we granted these rights to “our future selves.”

Also, note that URI’s license allows author to retain rights required to conform with NIH Public Access Policy and other policies that will be forthcoming from federal funding agencies in accordance with OSTP directive of February 2013.

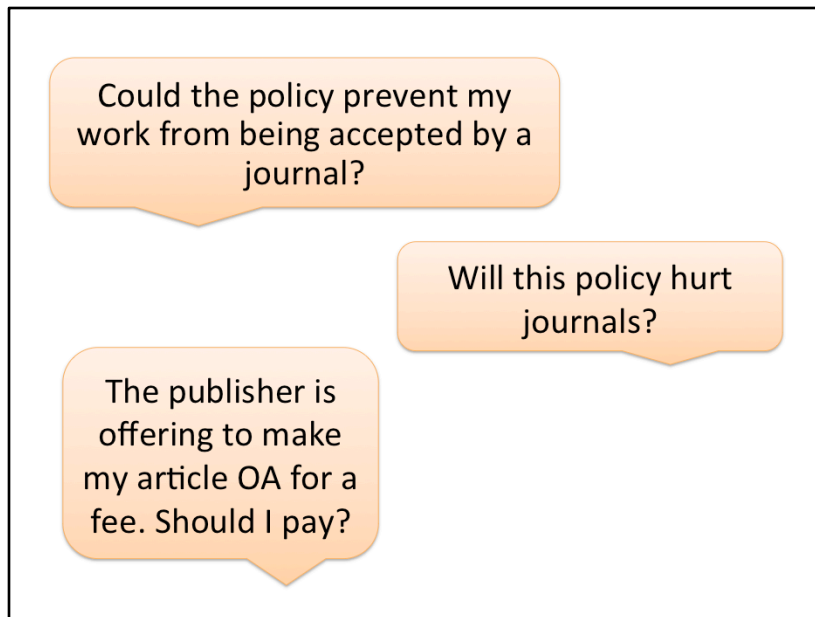
No-Questions-Asked Waiver

“...The Faculty Senate or Faculty Senate’s designate will, on behalf of the University, waive application of the license for a particular article or delay access for a specified period of time upon express direction by a Faculty member...”

A key component of the policy is a no-questions-asked waiver that allows any faculty member to opt out of the open access requirement for a particular article for any reason at all.

This preserves the academic freedom to publish in any journal, even in a journal that will not cooperate with the policy (though this is rare).

The waiver provision allows us to change the default for URI faculty articles to Open Access while remaining non-coercive.

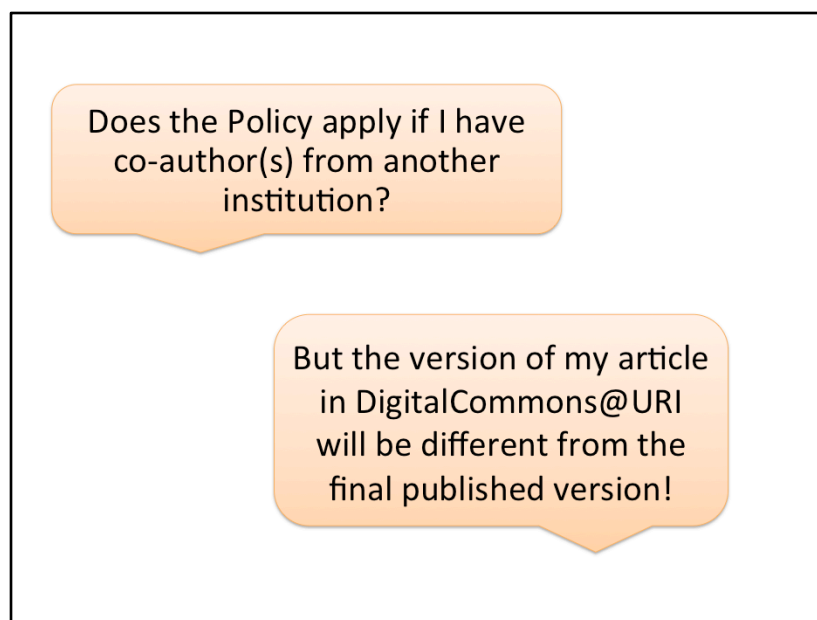


PREVENT WORK BEING ACCEPTED

- Decision to accept made by editors and peer reviewers, scholars like you.
- Independent of the “business” side of the journal.
- Usually takes place before we are asked to sign publication agreement.
- So, no, the policy would not prevent our work from being accepted.
- Any objections to publishing an article under the policy would be made by publisher, not the editor.
- If that happens, you can always seek a no-questions-asked waiver and go ahead and publish.

HURT JOURNALS

- At this point in time, there is no empirical evidence that OA through green repositories causes cancellations.
- High Energy Physics – all work OA through ArXive for >10 years, journals are fine.
- In a variety of disciplines, some journals have found that OA actually increases their submissions and subscriptions.
- Most publishers already allow some degree of self-archiving by authors in IRs; they wouldn’t allow this if it hurt their business.
- **If they feel it is a problem, journals have the solution in their own hands: They can require a waiver of the policy.**
- Greatest threat to journals comes not from OA, but from unsustainable price increases.



SHOULD I PAY?

- There is no need to do this, unless you want to. The URI Open Access Policy enables you to make your for OA through DigitalCommons@URI for free.

COAUTHORS

- Yes, any co-author has the right to grant the license to URI. You should comply with the Policy even if your co-author works elsewhere.
- As a courtesy, let your co-author know. If for some reason they object, you can waive out of the Policy for that article.

VERSIONS

- Helpful to think of version of article in DC not as a substitute for the final published version, but an advertisement for it.
- Those who want to cite the article after reading it can link through to the publisher site to cite the version of record or otherwise obtain the article.
- Many people who read the article in the repository do not have access to the publisher's site and would not otherwise have been able to read the article at all.
- Changes made in copy-editing and typesetting are minor and do not affect the article's intellectual content.



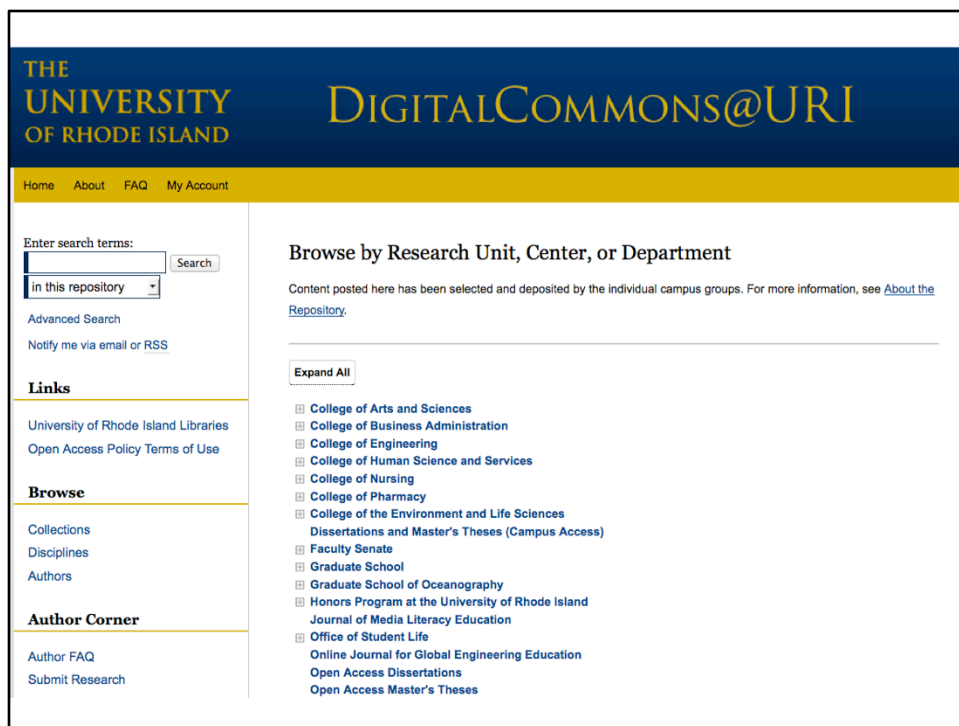
We've created a LibGuide that has all the information you might need to know about the Open Access Policy and how to comply.

<http://uri.libguides.com/oapolicy>

1. The first time you submit an article, fill out an Assistance Authorization Form. This only needs to be done once. This essentially gives the library permission to upload articles on your behalf and confirms in writing your grant to URI of a non-exclusive license in your articles.
2. You may wish to modify the publication agreement of your publisher to alert them that your transfer of copyright is subject to a prior, non-exclusive license. The university has already alerted most publishers.
3. Email the final version of your article – the peer-reviewed version you submit for publication – to oapolicy@etal.uri.edu. Include citation information and additional files (e.g. images, figures, data) if desired.

Should take no more than 5-10 minutes per publication to achieve all the benefits of making your work open access.

Note that the LibGuide also instructs you in how to get a waiver should the publisher require it.



Julia:

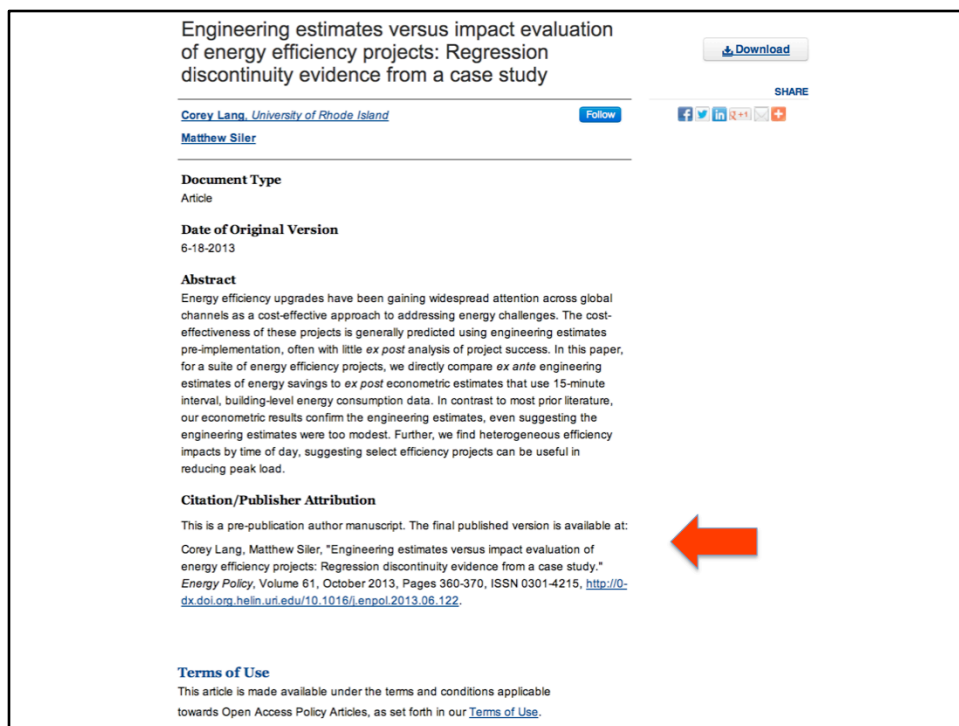
WHAT WILL BE DONE WITH THE ARTICLES

Go to: <http://digitalcommons.uri.edu/> and show departmental series.

Once we've received an Assistance Authorization form and the author's manuscript,

We will upload the article to the DigitalCommons@URI repository.

All articles placed in departmental series.



Here is an example of an article (by Prof. Corey Lang from ENRE) posted in DigitalCommons@URI under the OA Policy.

The DigitalCommons record will include:

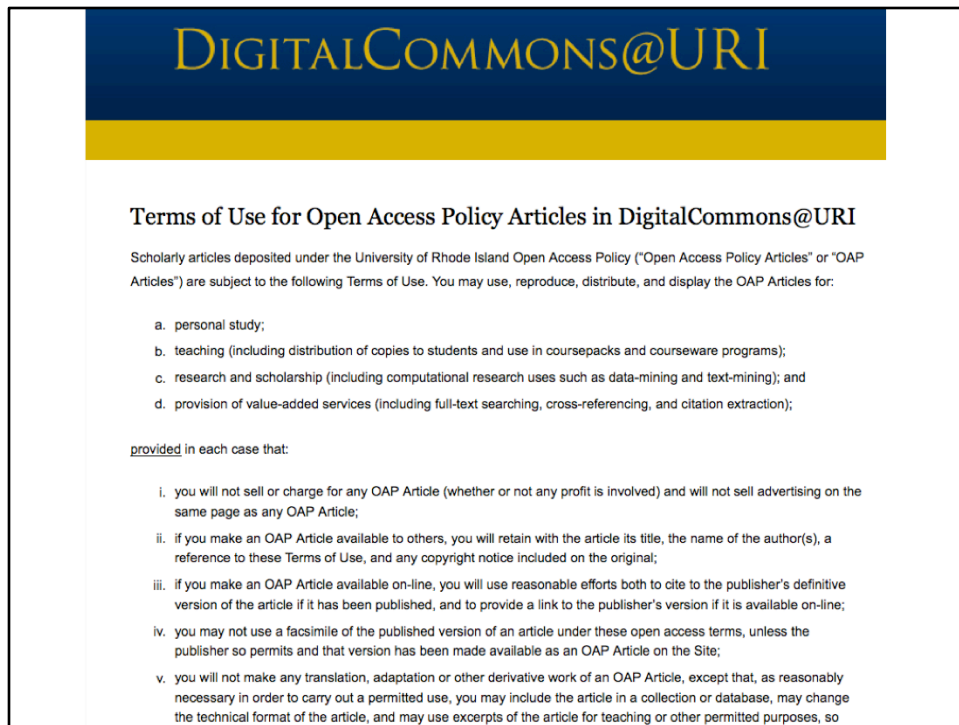
- A full citation to the final published version of record
- A hyperlink to the article at the publisher's site, when it becomes available.

It is helpful to think of the version of the article in DigitalCommons NOT as a substitute for the final publisher version, but as an advertisement for it.

People can read an article in DigitalCommons@URI and if it is what they are looking for, and they want to cite the version of record, they will be able to link to the publisher site.

Keep in mind that many who read the DigitalCommons@URI version will have NO access to the publisher version and would not otherwise be able to read the article at all.

Note too, that DigitalCommons sends the author monthly statistics on the number of times each article has been downloaded and what search terms were used to find it.



HOW CAN ARTICLES BE USED? Show Terms of Use at http://digitalcommons.uri.edu/oa_policy_terms.html.

OA Policy articles in DigitalCommons@URI must comply with Terms of Use which we adapted from Harvard's.

Articles can be used, reproduced, distributed, and displayed for:

- Personal study
- Teaching
- Research and scholarship
- Provision of value-added services (e.g. full-text searching and citation extraction)

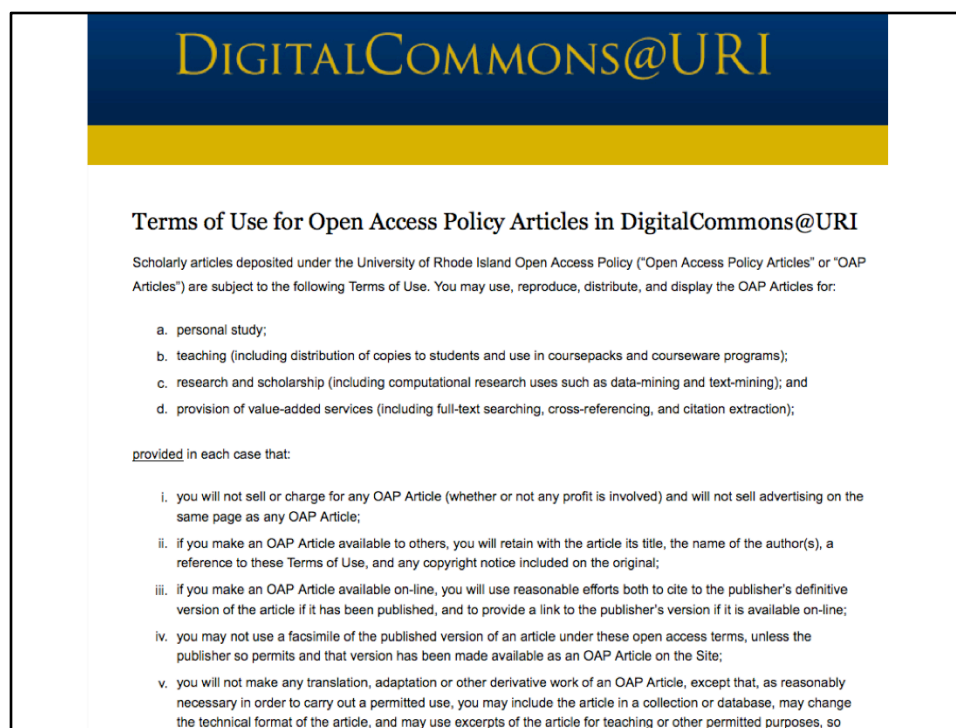
Articles may NOT be

- Sold or displayed on any page on which advertising appears.

It is REQUIRED that

- Article’s authors, title, reference to the Terms of Use, and any copyright notices remain with the article
- A citation and link to the publisher’s version of record be included.

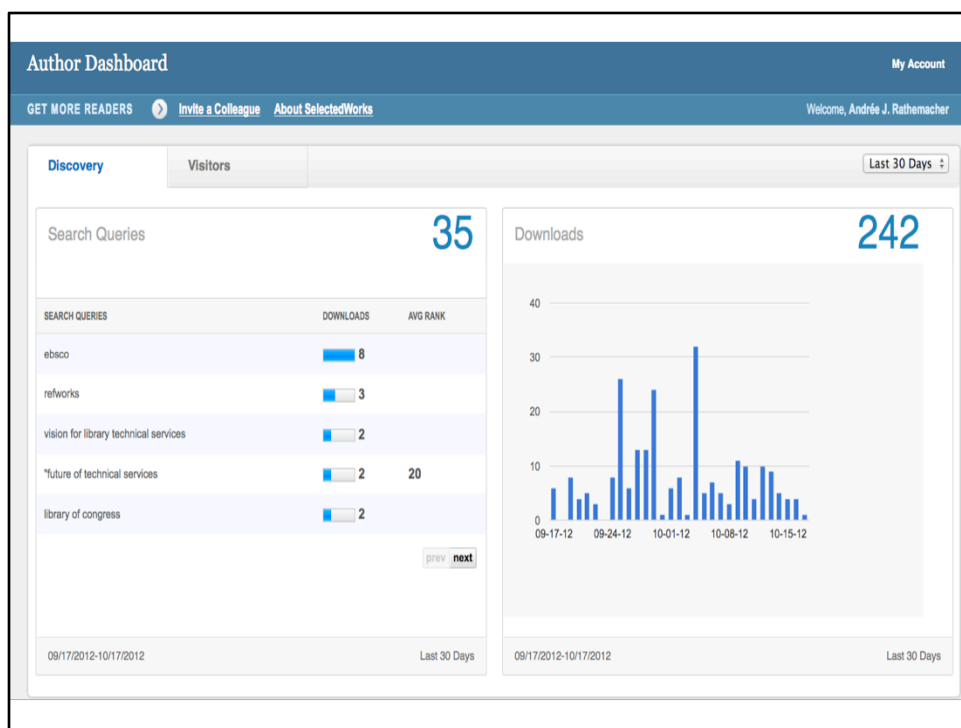
Derivative works such as translations, adaptations, and compilations are prohibited.



From LibGuide FAQ:

For example, instructors at other institutions could use Open Access Policy articles as assigned readings in their classes. Similarly, articles could be used in a coursepack, as long as the coursepack is not sold. It is conceivable that URI could authorize use of the articles in a commercial service that provides information extracted from the articles (but not the full text itself), such as bibliographic data, citation lists, and other information generated through text mining. Any arrangements URI agreed to would respect the integrity of faculty authors' work and be consistent with the goal of open access and ensuring wide visibility and availability of scholarly articles. Requests for permission to use an article for purposes other than those allowed by the Terms of Use would be addressed by the Faculty Senate through the Faculty Senate Library Committee, in consultation with the author of the article when at all possible. It is worth noting that while many publishers currently allow authors to self-archive a version of their article in an institutional repository, the Open Access Policy allows for additional uses as detailed above.

(Note that although the Terms of Use restrict what can be done with the articles, URI itself has license to exercise full rights in copyright.)



Authors will get email about how many downloads; you can also log into the “Author Dashboard” to see lots more details about usage. This can be used to support promotion and tenure bids and to show evidence of work’s impact for grant proposals.
(Part of move toward article-level metrics and altmetrics)

SelectedWorks of Corey Lang

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I am an Assistant Professor in the Department of Environmental and Natural Resource Economics at the University of Rhode Island. I have research interests in non-market valuation, energy, and climate change.

Working Papers

PDF **Redistribution, Delegation, and Regulators' Incentives: Evidence from the Clean Air Act** (with Antonio Bento and Matthew Freedman), *Matthew Freedman* (2013)
Taking advantage of the structure of the 1990 Clean Air Act Amendments (CAAA), we study...

PDF **Redistribution, Delegation, and Regulators' Incentives: Evidence from the Clean Air Act [Online Appendix]** (with Antonio Bento and Matthew Freedman), *Matthew Freedman* (2013)
Online appendix for "Redistribution, Delegation, and Regulators' Incentives: Evidence from the Clean Air Act" (with...


PDF **The Dynamics of House Price Capitalization and Locational Sorting: Evidence from Air Quality Changes** (2013)

Publications

PDF **Engineering Estimates versus Impact Evaluation of Energy Efficiency Projects: Regression Discontinuity Evidence from a Case Study** (with Matthew Siler), *Energy Policy (forthcoming)* (2013)
Energy efficiency upgrades have been gaining widespread attention across global channels as a cost-effective approach...

PDF **Targeting maps: An asset-based approach to geographic targeting** (with Christopher B. Barrett and Felix Naschold), *World Development* (2013)
Proper targeting of policy interventions requires reasonable estimates of the benefits of the alternative options...

PDF **Heterogeneous Transport Costs and Spatial Sorting in a Model of New Economic**



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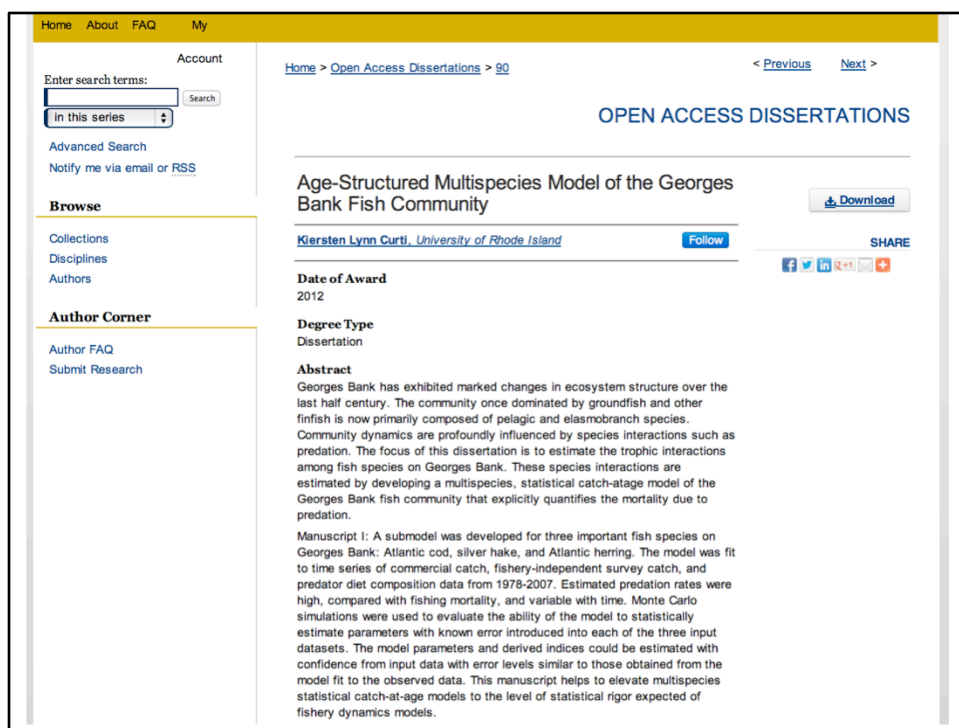
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Simple to edit – WYSIWYG interface



[transition into talking about other types of work that can be hosted through the repository]

Available through DC for some time, but limited to campus (link to PQ)

Now OA

Policy = in the university manual

Embargo options- up to 2 years

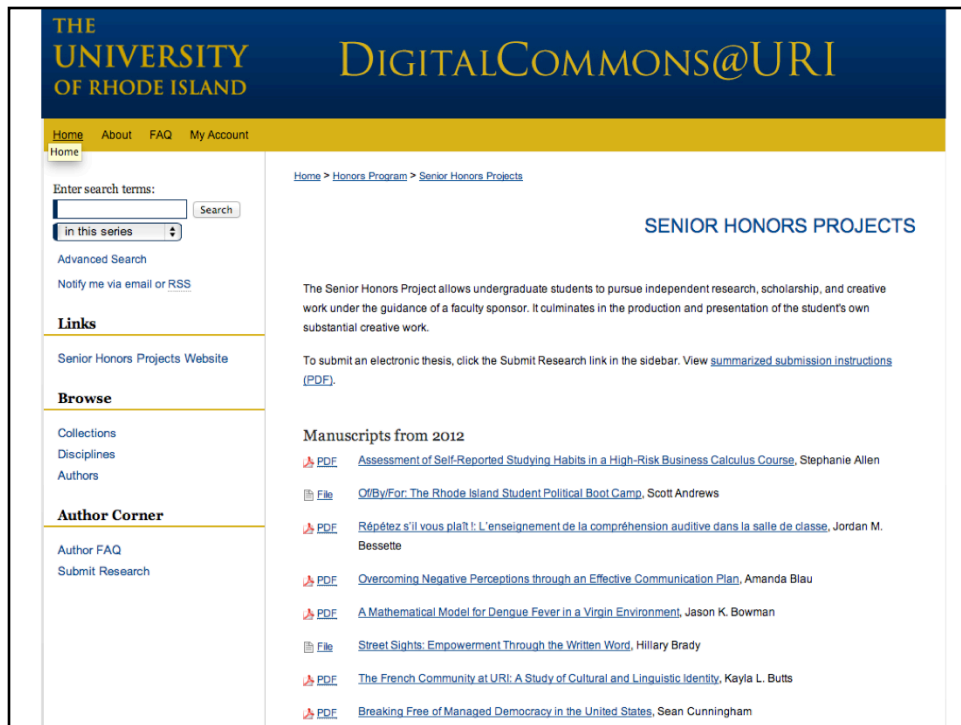
Examples

Benefits: exposure to your scholarship

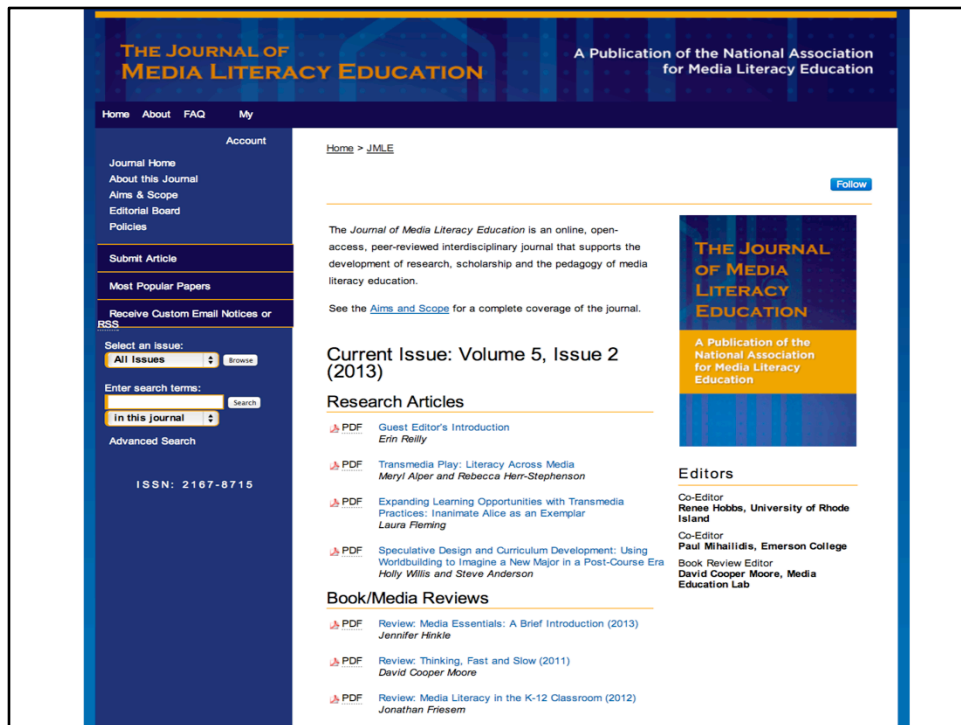
Can include supplemental files

Show download stats – ETD's some of most popular items on DC. Examples of popular ETD titles.

Be ready to address question about whether publishers will turn down book based on open ETD. Cite that study in CRL? Also mention that some publishers consider evidence of in-demand ETD as all the more reason to turn it into a book. Book version is new product, heavily shaped and edited.



The repository is also a great place to house student work. The Senior Honors Program at URI has had a mandatory deposit policy for several years now. Have heard great feedback from graduates being able to cite their work and contribute to knowledge production. These projects actually consistently get the highest proportion of downloads in the repository currently, about two-thirds overall per month.



DC can host OA journals

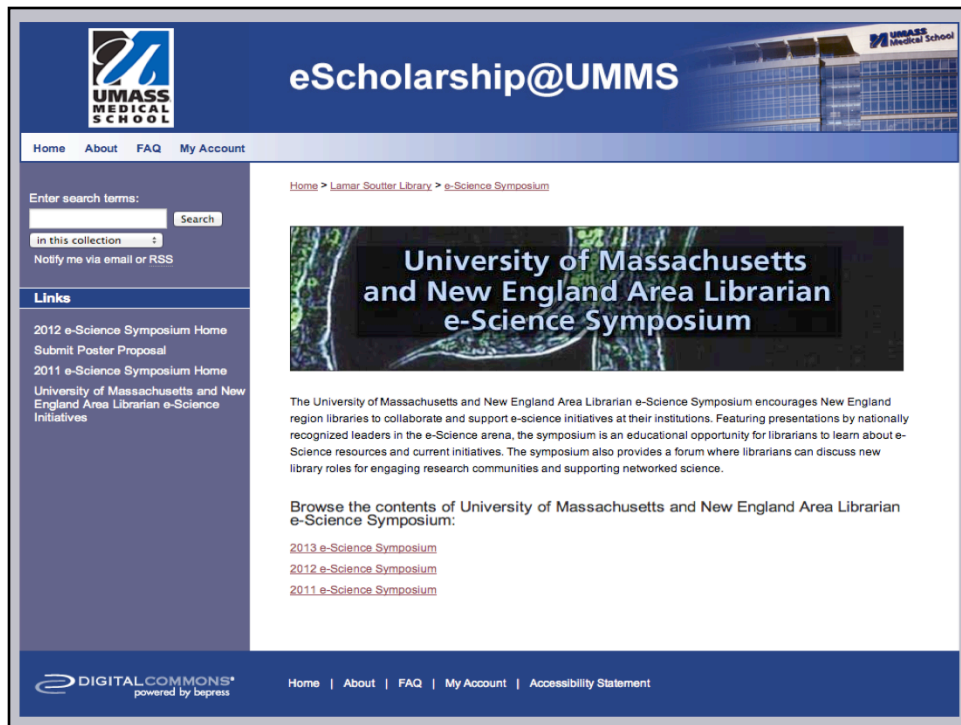
Full-service Edikit software handles management of peer review, communications with authors and reviewers, publishing and hosting

Free service to those affiliated by URI (supported by Library)

If you want to start a *new* journal, we have a form you can fill out to help you think through the process and ensure quality control

If you want to transfer an existing journal to Digital Commons, we can help you with getting set up and migrating past issues to the new platform.

Examples – JMLE, OJGEE

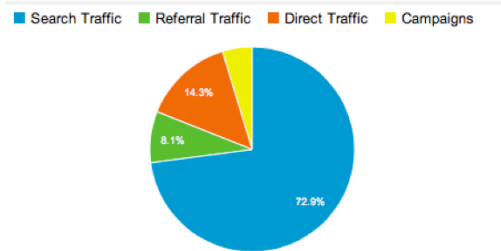


In Digital Commons, you can add a conference series and keep each year's materials in one place.

Unlike other conference websites that might not be maintained... or maybe the proceedings get published in a journal... this requires no maintenance and all past years are preserved.

DigitalCommons@URI Statistics

- 6,611 documents to date
- 550,199 full-text downloads to date
- 242,565 downloads in the past year
- Usage: 72% search traffic



These are statistics from 9/7/13-10/7/13.

Notice that about half of the overall downloads have happened in the past year—this is consistent with the trajectory of most repositories, that downloads increase exponentially relative to # of documents.

Questions?

Julia Lovett • jalovett@mail.uri.edu

Andrée Rathemacher • andree@uri.edu
oapolicy@etal.uri.edu